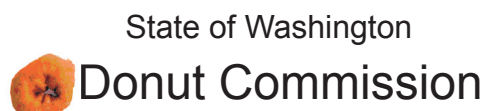# The Washington State
Donut Commission
Information Technology Portfolio
2005 – 2006

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Using the sample portfolio:

We at the Department of Information Services, Small Agency Client Services, hope that you find this small agency IT Portfolio sample helpful. Although the types and sizes of the fictitious Donut Commission's IT investments may not match yours, we think that you will find the nature and content of the descriptions, the link to business objectives and the integration with services of DIS and other agencies to be useful examples.

This example shows how the employees of the Donut Commission supported their mission and business objectives with IT investments, and leveraged the capabilities of others to avoid redundant efforts or compromising quality of services.   We hope this example gives you some ideas about how you can use the IT Portfolio process efficiently.

Linda Jo Demery, Small Agency Client Services Manager

This is a sample IT Portfolio and not an actual agency.

Section 1

Agency Portfolio Overview

A.   Purpose

Background Question	Answer
How will IT Portfolio planning support your agency?	We can use this document to help us plan for the effective use of Information Technology (IT) in support of our agency mission. By using this document, we can also help our management and technology managers understand how our IT investments will be completed in line with our strategic plans, compatible with agency and state technology, and well-managed throughout start up and useful lifespan. By using this document, we will meet the requirements of the Washington State Information Services Board (ISB), as administered by the Washington State Department of Information Services (DIS), to provide operational and planning information about our IT systems. We have formatted this report to correspond with the DIS publication Information Technology Portfolio Management Standards as amended in April 2002. We have also used ePortfolio to file Section 3 information.

B.   Convergence of Business Mission and IT Vision

Background Question	Answer
Briefly describe the background, scope, funding and composition of your agency.	The Washington State Donut Commission (WSDC) was created in 1969 by the state legislature to promote the production, quality, and consumption of donuts that are made in Washington state with Washington state-grown ingredients. The diverse array of agriculture products in this state helps dedicated donut manufacturers in Washington create the best donuts in the world. The Legislature recognized that promoting the donut industry in Washington would be good for our economy and elevate our stature globally. We promote productive relations between state agricultural producers and state donut manufacturers, to establish and communicate standards for donut quality, and to develop marketing research and campaigns promoting Washington donuts. Our funding comes from an assessment on donut manufacturers of .001 cent per donut. This is collected by the Department of Revenue. Twelve employees work at the WSDC – eight in our Olympia office and four in our Spokane office. Four of our employees travel extensively to meet with manufacturers and support their voluntary quality standards. One employee in Olympia is dedicated full time, and an employee in Spokane is dedicated one quarter time to provide IT support. We support and receive guidance from the Washington State Donut Committee, which is an advisory board comprised of 13 stakeholders who are appointed by the governor to represent the industry and agriculture producers. The WSDC offices are co-located with the Department of Nutrition offices in both Olympia and Spokane. Sharing facilities with this large agency helps us leverage strong infrastructure management practices and allows us to focus on meeting business needs. We make effective use of information technology to support all of our services. See the table below for how our IT capabilities align with our business. This table derives our business needs from our 2004-08 Strategic Business Plan, which we have referenced in Section 2 of this document.

WSDC Business Needs Aligned with Current IT Capabilities:

Business Needs	Current IT Capabilities
Our Mission and Vision: WSDC supports the donut industry in Washington state by promoting strong supplier/producer relations, high manufacturing quality and effective marketing. Donuts produced in Washington state will be viewed world-wide as the finest in quality and most prestigious donuts that can be served. Donut manufacturers in Washington state will view WSDC as a valuable partner that contributes to their individual profitability through improved supplier relations and effective marketing; and contributing to the industry as a whole by promoting quality standards and creating brand recognition. The citizens of Washington state and WSDC stakeholders will view WSDC as an example of state government that is effectively serving Washington citizens and businesses.	We support our mission and vision by making IT investments that result in: • good communication among all people in the agency and our customers. • a product and service directory of all donut industry stakeholders in Washington to facilitate a strong supply chain and marketplace. • Internet and tablet PC technology that helps donut producers comply with quality standards so that donuts produced in Washington gain a reputation as the world's finest. • accurate sales information that manufacturers can use to assess market trends. • a useful and accessible Web site with which we can promote Washington-produced donuts and help connect buyers with sellers. • productivity and high quality work by on-site and traveling employees of WSDC.
Our primary services: Our Supplier Relations Division employees promote the use of Washington state agricultural products by donut manufacturers in Washington. These employees research manufacturers' needs, identify sources of supply, encourage innovative procurement practices and help resolve disputes between agricultural product suppliers and manufacturers.	We directly support service delivery with our IT investments and resources: Our Supplier Relations Division employees use agency workstations, e-mail, and networking services to communicate with manufacturers, suppliers, staff, and other stakeholders. They maintain a directory database of manufacturers and suppliers on the agency network in an MS Access database, and update and post this database to the agency Web site to help connect manufacturers and suppliers. They capture all dispute resolution information electronically in Word templates, and file these reports on the network to provide appropriate staff with easy access.

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Business Needs	Current IT Capabilities
Our Quality Promotion Division employees established standards for donut production by working collaboratively with the industry. These employees communicate standards to manufacturers, provide tools with which manufacturers can monitor their own quality in complying with standards, and deliver education sessions about the standards and tools. Field staff support self-inspection and use of tools, and provide education.	Our Quality Promotion Division employees use agency workstations, e-mail, and networking services to communicate with manufacturers, suppliers, staff and other stakeholders. They document standards and post these reports on the agency Web site in an easy-to-follow format. Manufacturers can ask questions and sign up for education sessions through the agency's Web site. We have worked with a private-sector software development partner to develop a tablet PC-based standards monitoring tool – Donut Uniformity Networked Computer (DUNC) – with which donut manufacturers can download the latest standards and apply them to measurement of donut quality. We also capture statistics on quality with the DUNC, which generates electronic reports to us. Manufacturers can use this information to voluntarily achieve the quality and uniformity that makes donuts from Washington famous and highly sought.
The WSDC Marketing Division employees conduct marketing research, capture sales data and derive statistics, and develop marketing campaigns to support sales of donuts produced in Washington.	Our Marketing Division employees use agency workstations, e-mail, and networking services to communicate with manufacturers, suppliers, staff, and other stakeholders. These employees use the Internet to conduct research on donut and related foods markets. Most state donut manufacturers agree to provide monthly reports on donut sales, which our marketing employees manually enter into an MS Access database to analyze sales trends by product type and geographic area. They post reports and aggregated non-attributable files monthly to the agency Web site for manufacturers to use for demand forecasting. They also post on the agency Web site marketing materials and information for anyone who might benefit.
The WSDC Management Team is comprised of the Agency Director, three Division Managers and the IT Manager. The Management Team members manage effective coordination with internal and external stakeholders to develop agency plans and deliver effective services. An Office Manager provides administrative and fiscal support, and Small Agency Client Services Consultants provide coordination and compliance services.	The Management Team members use agency workstations, e-mail, and networking services to communicate with manufacturers, suppliers, staff and other stakeholders. They also use statewide systems for financial, HR and purchasing management. They provide data from all agency systems to agency managers for their analysis and start up to improve agency operational effectiveness.

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C. IT Plans, Proposals, and Acquisitions Process

Background Question	Answer
How does your agency plan for IT acquisitions and how is this integrated with budgeting for your agency's business?	We develop our information technology acquisition planning during the biennial budget development process. During this planning we account for replacement cycles, new equipment and software needs, projected staff additions and maintenance contract costs. The members of the WSDC Management Team review this plan as an integral part of the agency budget, and receive input on priorities from the members of the Washington State Donut Committee.
How do you assure that you follow state standards when you select and acquire IT resources?	Given the agency's small size, we take advantage of state master agreements and DIS Technology Brokering Services, when possible, for all of our acquisitions. Some of our acquisitions are in cooperation with Washington Department of Nutrition (WDN) technology staff because we share network and telephone services. We conduct all of our procurements in compliance with applicable statutes and rules of the Department of Information Services and Office of Financial Management. Our Director and/or Management Team members review all procurements to ensure appropriate procedures are followed. They also conduct investment planning/approval and a competitive procurement when warranted by the size and nature of the purchase. We adhere to state information technology technical standards for all of the equipment and software that is currently installed within our agency. We use only Intel computers and Microsoft operating system software. We use the Microsoft Office suite for word processing, and to develop spreadsheets, databases and presentations. A primary concern that we have about the technology direction for our agency is to be "mainstream" wherever possible to avoid problems related to compatibility with other systems, obsolescence, training, replacements and upgrades and ongoing support.

D. Overview of Infrastructure

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Infrastructure Requirements or Components	Current Status and Capabilities
The number of agency users supported by the IT infrastructure is:	Currently, we employ 12 full time employees (FTE) – eight in Olympia, four in Spokane – who use the IT infrastructure.
The type and number of external customers supported by the IT infrastructure is:	Approximately, 60 people from manufacturers access applications or unique data through the WSDC Web site. The public component of our Web site receives approximately 3,000 hits per month.
The IT support comes from:	Our IT support staff includes one full time IT Manager, and .25 time of a program person who has other duties as well. The IT Manager is responsible for all IT systems administration and application support. The program person assists with trouble shooting and backup of Spokane PCs and servers. We have established service level agreements with the Department of Nutrition under which their systems employees provide most systems administration support. Because of this support, our IT manager and .25 time program person can focus on applications and data that we need to achieve our business objectives.
Our workstations include:	We currently own eight PC workstations ranging in age from one to three years and four tablet PCs ranging in age from one to two years. We replace our PCs on a three year cycle, and keep the two oldest PCs for use as a guest/spare PC – one in each office. Our workstation software is MS Office XP.
Our servers include:	We maintain our local file server in the WDN server room in Olympia, and maintain a mirrored server in the Department of Nutrition server room in Spokane. We maintain our Web server with DIS ala carte services. We acquire our exchange e-mail services from DIS. Our operating systems are Windows 2000 or later depending on the host support agency. We provide Citrix NFuse remote access to traveling employees.
Our network components include:	We use two Cisco routers, T1 lines and Windows 2000 operating system to connect our 100 MB Ethernet local area networks in each office to the state backbone network.

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Infrastructure Requirements or Components	Current Status and Capabilities
Specialized infrastructure for security and disaster recovery includes:	We control logon to agency applications by strong passwords. We have installed McAfee antivirus on each workstation. WDN and DIS maintain antivirus protection on the servers they manage for WSDC.
	We perform a daily tape back-up at our Olympia and Spokane offices to maintain continuous operations with minimal recovery downtime in the event of failure of either server.
Critical application software and databases include:	We maintain an MS Access directory database of manufacturers and suppliers and post it on our Web site for download.
	Using Microsoft .Net, we developed a tablet PC-based application, Donut Uniformity Networked Computer (DUNC), for which we maintain standards data. With DUNC, we can store server data on MS Access and automatically load manufacturer quality data. Our field employees provide basic software support and, by contract, the software developer provides advanced support (see Appendix B for more on DUNC).
	We also maintain an MS Access Donut Sales Statistics Database and post it on our Web site for manufacturers to download.

See Appendix D for a network diagram.

E. Analysis

Analysis of IT Spending:

IT Spending Category	Previous Yr. Actual	% of Total	Current Year Projected	% of Total
Hardware purchase or lease:	$24,000	16.8%	$25,000	10.0%
Software purchase or lease:	$ 8,000	5.6%	$ 8,000	3.2%
Hardware repairs and maintenance:	$ 3,000	2.1%	$ 3,000	1.2%
Software enhancements and maintenance:	$ 3,000	2.1%	$ 3,000	1.2%
Telecommunications and networking:	$ 8,000	5.6%	$ 8,000	3.2%
Data processing services (e.g. DIS services - WDN support):	$21,200	0.8%	$ 21,350	0.5%
IT FTE salary and benefits:	$83,000	58.0%	$85,000	34.2%
Personal or purchased contractor services:	$32,000	8.4%	$135,000	46.2%
IT Training:	$ 1,000	0.7%	$ 500	0.2%
Totals	$183,200	100%	$268,850	100%

This is a sample IT Portfolio and not an actual agency.

F. Challenges, Opportunities, and Solutions

Background Question	Answer
In general, how do you hope to use IT investments to further the agency business mission, objectives, and services?	Our most pressing business objectives in service to our stakeholders will only be possible if we can improve our staff efficiency through better automation. We will lose one FTE in this biennium due to budget cuts. We still have objectives to improve our measurable impact on our customers. Our hope is to complete a new project that automates collection of monthly donut sales figures.Currently, manufacturers submit paper sales figure reports, which we manually enter into our database.
	We would also like to increase the number of manufacturers who use the DUNC system so that we can better understand donut quality efforts and more efficiently direct the efforts of field staff.
	Finally, we hope to improve the accuracy of our internal databases, to improve our ability to use operations data and improve service delivery, as required by the Governor's GMAP directives.
What opportunities do you see to collaborate with other state agencies and to contribute to the state's IT plan?	We will continue to collaborate with the Department of Nutrition for systems support, which has allowed us to develop professional and reliable network and desktop support for our employees, and has helped our IT Manager support our business by concentrating on developing and acquiring databases and other technology.
	In the future, we will plan for opportunities to jointly share IT investments with other state agencies. For example, our work with agricultural producers overlaps Department of Agriculture employees' work and a number of other commissions that support agricultural products. We may identify sharing opportunities as we gain a better understanding of, and uses for, each other's data. Program Managers at the Department of Health have also expressed interest in using data on donut sales to better understand which populations may have higher donut consumption and how that might correlate to wellness and longevity.

Current and Future IT Investments to Meet Business Objectives:

Business Objective	Current or Planned IT Investment	Impact on IT Infrastructure
Our objectives for the coming biennium and beyond are…	The following planned IT investments and resources will support achieving these objectives by…	High, Medium, or Low (considering new resources, funds, process change or effort required)
For the 2005 – 2007 biennium, we will face new challenges and opportunities. We will lose one FTE, reducing our workforce by more than 8%. We intend to use technology to create workload savings to maintain our level of service.	The primary opportunity we see to improve our workforce productivity is the EForms project described below. We hope that EForms will help us eliminate the substantial data entry burden and compensate for lost staff resources.	See below.
We have established the following Government Management and Accountability and Performance system (GMAP) objectives:		
We will carry out targeted education programs to reduce, by 10 percent, disputes brought to us by donut manufacturers.	We will analyze cases and create a new Access database to help us identify trouble spots and develop education programs.	Low – The database will be very basic and is within the capabilities of our IT staff to develop and maintain with occasional contract support. Our staff time will be required during development, but we don't anticipate the need for additional work or infrastructure over time.
We will use sales data to forecast key supply demands and help manufacturers reduce, by 2 percent, inventory costs.	See EForms project, which will provide timely, complete and accurate sales data.	Low – We don't anticipate new activities, just better data.
We will promote our DUNC system to increase usage from 60 percent to 75 percent of all state donut manufacturers.	By increasing the number of manufacturers who use DUNC, we can improve the efficiency of donut quality control.	Low – We project that the support demand for increased use will be negligible.

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Business Objective	Current or Planned IT Investment	Impact on IT Infrastructure
We will improve forecasting by reducing, by 2 days per month, the delayed availability of market sales data.	We have budgeted $100,000 in the current biennium budget for our EForms project, which will automate our donut sales data collection from manufacturers.	High – We plan to dedicate resources and time for acquisition and interaction with the developer, development and delivery of EForm training for manufacturers, creation and start up of business and IT processes, monitoring data quality, and meeting new demands for changes as a result of improved and increased use of data.

G. Prioritization Process

Background Question	Answer
What are your agency's current priorities for IT investment?	Our first priority is to maintain the availability, integrity, and reliability of our operational desktops and networks to assure productivity of our staff and access to data for our stakeholders. Our second priority is to enhance and develop applications with which we can improve our productivity and provide better information to our constituents.
What is your agency's process for prioritizing IT resources?	We prioritize our IT investment quarterly and annually. Our management team is also our IT Oversight Committee, which meets quarterly to review our IT expenditures and our progress on IT improvements. Members of this committee may also change previously set priorities as required by current events or unforeseen needs. At each quarterly WSDC meeting, we provide and seek input and suggestions for an IT report that includes a review of current priorities and progress. During our annual budgeting process, we make decisions about hardware and software upgrades and other significant new expenditures.
How do you consider hardware and software obsolescence in your IT investment prioritization?	Each biennium, we review our hardware and software inventory to identify needed upgrades. We anticipate a four-year useful life for desktop and mobile PCs, and servers. We generally try to use an acquired asset as long as possible, but have to plan for some to fail or become obsolete. We work with the WDN, as part of our service agreement, to keep our network and server operating systems current, or one release behind, when upgrades are not cost effective. We place lowest priority on our desktop software (MS Office), but make every effort to avoid falling two upgrades behind.

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SECTION 2

Agency Strategic Business Plan

We completed and submitted to the Office of Financial Management our 2007-07 Biennium strategic business plan. A copy of the WSDC 2005-07 Biennium Strategic Business Plan is included with this IT Portfolio as Appendix A.

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SECTION 3

Agency Technology Infrastructure

We have used the worksheets from the DIS Information Technology Portfolio Management Standards manual to provide current and projected IT budget, IT personnel reporting, and personal and workgroup computing (sections A, B, and C). We have also submitted this information in ePortfolio as required.

Due to our agency size and budget preparation practices, information technology is not always strictly separated from agency division budgets. Some of the figures we have provided are estimates.

A. Current and Projected IT Budget

Reporting Period	Total Agency IT Budget	Hardware Purchase and/or Lease	Software Purchase and/or Lease	H/W Repairs and Maintenance	S/W Enhancements and Maintenance
Indicate Current Fiscal Year FY 04	(Projected) $180,200	(Projected) $21,000	(Projected) $8,000	(Projected) $3,000	(Projected) $2,000
Indicate Current Fiscal Year FY 04	(Actuals) $183,200	(Actuals) $24,000	(Actuals) $8,000	(Actuals) $3,000	(Actuals) $3,000
Indicate Next Fiscal Year FY 05	(Projected) $268,850	(Projected) $25,000	(Projected) $8,000	(Projected) $3,000	(Projected) $3,000

Reporting Period	Telecommunications	Data Processing services (e.g. DIS services)	If applicable, list and identify other major IT expenses here
Indicate Current Fiscal Year FY 04	(Projected) $9,000	(Projected) $20,000	(Projected) $1,200
Indicated Current Fiscal Year FY 04	(Actuals) $8,000	(Actuals) $21,200	(Actuals) $0
Indicated Next Fiscal Year FY 05	(Projected) $8,000	(Projected) $21,350	(Projected) $0

B. IT Personnel Reporting

Reporting Period	Total Agency IT FTEs (include WMS positions)	Salaries and Benefits	Personal and Purchased Services	Professional Development of IT Staff
Indicate Current Fiscal Year FY 04	(Projected) 1.25	(Projected) $83,000	(Projected) $32,000	(Projected) $1,000
Indicate Current Fiscal Year FY 04	(Actuals) 1.25	(Actuals) $83,000	(Actuals) $32,000	(Actuals) $1,000
Next Fiscal Year	(Projected) 1.25	(Projected) $85,000	(Projected) $135,000	(Projected) $500

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C. Personal and Workgroup Computing
Indicate the fiscal year reported: FY 04
Personal Computers

1. Total Agency FTEs	2. Total number of PCs (exclude servers)	3. Planned number of PC replacements next fiscal year	4. Agency intended refresh cycle in months	5. PCs donated to schools in last 12 months
12	14	3	48	0

Servers

6. Total number of servers	7. Number of servers to be replaced next fiscal year	8. Number of servers planned to be added in next fiscal year	9. Factors driving server acquisition strategy Volume, number of applications, age of server
6	0	0	

Network Connectivity

10. % agency staff with Inside Washington (intranet) access 100	11. Agency primary network operating system WINDOWS 2000 SERVER

Desktop Office Suite

12. Primary desktop office product suite? MS OFFICE XP	13. If not XML enabled, do you plan to be within 12 months? (yes/no) Yes

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D. Geographic Information Systems (GIS)

Currently, we don't have GIS capacity.

E.   Security and Disaster Recovery/Business Resumption Plans

Due to the small size of our agency, we share the practices, policies, and capabilities of the Security and Disaster Recovery/Business Resumption Plans of the Department of Nutrition (WDN). In addition, we don't operate "mission critical" applications per the specifications set forth in the DIS Portfolio Guidelines that impact the following:

- health or safety of the public or state workers
- income maintenance for citizens or governmental employees
- payments to vendors for goods or services
- legal or fiscal integrity of state operations

We have systems that are important to our mission constituents, and have provided an overview of how we comply with ISB policies and standards for Security and Disaster Recovery/Business Resumption Plans. We have provided more detailed information in the WSDC plans. We have included, in Appendix C, a copy of our annual letter to the ISB in which we verify that we have met ISB policies and standards.

Security Compliance:

Management Question:	Responses (Summary level – see the agency's IT Security Plan for details)
What policies and plans does the agency have to guide its employees in assuring the security of the agency's IT assets and data?	Our Security Plan links to an agency policy on employee compliance with the Security Plan.
What IT capabilities does the agency share with other agencies and the state as a whole? How do they support the agency's IT asset security?	We rely extensively on WDN for systems administration and DIS for Exchange e-mail. Both of these hosting agencies provide extensive security for our IT assets. We collaborated with these agencies to create a Security Plan that is consistent with their processes and practices.
How do the agency's security plans address the agency's reliance on others and the impact of the agency's practices on the state IT infrastructure as a whole?	We allow trusted partners access to our Web-based applications. We safeguard state assets by protecting against unauthorized parties and attacks through the adoption of the security levels prescribed by ISB standards.

This is a sample IT Portfolio and not an actual agency.

Management Question:	Responses (Summary level – see the agency's IT Security Plan for details)
Who has supported development of the agency's security plans and do they have the appropriate training and experience?	Our experienced IT Manager collaborated with security management employees from WDN and DIS to develop our Security Plan.
How has the plan been tested, updated, and audited in the past year to assure effectiveness, currency, and compliance? (Independent audits are required every three years.)	We participated in intrusion and detection tests conducted by WDN in 2004. We have scheduled an independent audit in collaboration with WDN in 2005. We included the documented results of the test in the IT Security Plan changes based on lessons learned.
How is sensitive information in the security plan protected from unauthorized access?	We have made most parts of the plan available to all agency staff to assure employee knowledge and compliance. We have included in the appendix of the plan, a description of the system configurations and software that is in use within our agency. We have limited access to this information to the IT Manager, support staff and the security managers of the hosting agencies – WDN and DIS.
What does the agency do to assure that its personnel and contractors understand and follow the agency's security plan?	During new employee orientation, our IT manager briefs our personnel on security. We provide each employee a "use of IT resources" reference extract from the plan. We also require our contractors to comply with physical and IT security requirements, and include these requirements in their contracts.
How has the agency assessed its IT assets, impacts of security failure, and threats and risks posed by security failures?	We have included an inventory of all IT assets by type in our Security and Disaster Recovery/Business Resumption (DRBR) plans. We have assessed each asset – hardware, network connections, databases, and applications – for potential threats and impacts on agency operations if they are disrupted.
How are the agency's physical facilities and IT assets safeguarded?	Both of our offices are open to the public. We store all servers, on site backups, and network equipment in a locked room that is accessible only by card key.
How has the agency identified and protected its important data from compromise or unauthorized use?	We maintain off site storage and recovery by backing up all databases nightly on servers in Olympia and Spokane. We store local tapes in a fire resistant safe in the locked computer room. To prevent private information from inappropriate sharing, we aggregate our data that is made available via applications or file transfer on the Internet.
How does the agency use data encryption?	We will begin using EForms to collect confidential information from manufacturers this year. We will build a Secure Socket Layer into the application and require strong passwords for access.
How has the agency assured that its important data and application program code are backed up, secure, and restorable?	Our archival software automatically backs up all databases to tape and stores a backup copy on the mirrored site in Spokane. Trusted contractors develop key applications and keep copies of these applications at their sites for support and backup.

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Management Question:	Responses (Summary level – see the agency's IT Security Plan for details)
How does the agency protect from infection by viruses and similar threats?	We use server and desktop software from McAfee that is also used at WDN to protect from viruses and similar threats.
How does the agency secure its networks from unauthorized access?	We follow procedures established at WDN and DIS. We don't have wireless access.
How does the agency maintain currency of network and virus protection software?	We have a service level agreement with WDN to maintain all systems software at current patch levels.
How does the agency assure effective and appropriate use of Web browsers and e-mail?	We have standardized the latest version of Microsoft IE. We have developed policies on Internet and e-mail usage.
How does the agency secure remote access to its applications and information?	We use Citrix, as supported by WDN, to give employees remote access that requires strong passwords and limits access to only certain files by user-based security.
How does the agency assure compliance with use of strong passwords per ISB security policy?	All software in use, supported by WDN and by vendors, is accessible only by passwords that users must change quarterly, applying strong password format.
How does the agency identify and authenticate users of its data and applications on the network or via the Internet?	Each authorized user goes through a subscription process by which a specific user ID and password is issued to access to data and applications.
Has the agency identified applications that execute agency transactions that are accessible via the Internet and assured DIS review and approval?	We have two current and one planned application that fall under digital government regulations. DIS MOSTD consultants have and will continue to review the design and tools for compliance with state standards.

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Disaster Recovery/Business Resumption Compliance:

Management Question:	Response (Summary level – see agency's IT DR/BR Plan for details)
How has the agency assessed its IT assets, impacts of disasters or disruptions, and threats and risks posed that should be mitigated?	Our Security and Disaster Recovery/Business Resumption (DR/BR) plans include an inventory of all IT assets by type. We assess each asset – hardware, network connections, databases and applications – for potential threats and impacts to agency operations in the event of a disruption.
How has the agency identified and prioritized its mission critical and important services that must be recovered from disruption?	We have given a critical rating to the applications, listed in Section 3.G., our agency e-mail and desktop services. Recovery time to avoid negative impact to our agency and constituents can take up to five business days.
How has the agency prepared DR/BR plans that meet the state standards?	We have created our DR/BR plans in keeping with ISB standards and guidelines. Our plans are not complex and provide for recovery of services within five business days.
How does the agency collaborate with supporting agencies to create complete and appropriate DR/BR capabilities?	We have developed our DR/BR plans in collaboration with WDN. In the event of an emergency, we would share temporary space and facilities with WDN.
Who has supported development of the agency's DR/BR plans and do they have the appropriate training and experience?	We have collaborated with the business recovery officer at WDN to coordinate our DR/BR plan with theirs.
How has the plan been tested, updated, and audited in the past year to assure effectiveness, currency, and compliance? (Independent audits may be done by the State Auditor.)	We participate with WDN in a yearly test to evaluate the effectiveness of our plan and joint operating agreements. We are ready for an independent audit if the State Auditor chooses to do one.
What are the agency's primary recovery requirements (what has to be put back in operations first) and what are the primary means to assure that this can happen?	We have given a critical rating to the applications, listed in Section 3.G., our agency e-mail and desktop services. Recovery time to avoid negative impact on our agency and constituents can take up to five business days. WDN employees provide facilities, communications, and hardware support to help WSDC recover.
What alternate facilities, IT, and communications capabilities would be used to recover from a disaster?	WDN facilities are located throughout the state. Following a localized disaster, we plan to shift our operations to an unaffected collocated WDN facility since WDN administrators expect to continue operations at unaffected locations.
How is data backed up, safeguarded, and tested to assure that it can be recovered appropriately?	Daily, we backup our data with mirrored servers in Spokane and Olympia. We check this data weekly to assure its integrity and readiness. We also check monthly and nightly backup tapes for usability.
How does the agency organize its people to respond, contact first responders, and take steps to reduce the severity of the impacts?	We maintain an agency calling list and each employee has a booklet of emergency contacts and procedures, which we update as needed.

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F. Public Access

We have made good progress toward providing public and constituent access to agency information. We have described our capabilities in the table below:

Public Access Questions	Capabilities and Initiatives
What are the general content and capabilities of the agency's Web site?	Our Web site includes information about agency activities and the constituents we support, and information that is specific to our customers.
What transactions or information collection requirements are available through electronic access?	We provide the following information to the general public: • promotion of the Washington State Donut Industry and Products • directory of donut manufacturers • information about the quality and economic contribution of donuts produced in Washington state • statistics about the industry • fun Washington Donut facts for kids • marketing materials We also support the following information exchanges via the WSDC Web site: • upload of donut quality sampling data from the DUNC system from donut manufacturers • password protected directory database of manufacturers and suppliers • password protected statistical files for marketing analysis • sign-up for classes and other educational opportunities
What are your agency's future plans to improve electronic public access?	In the next biennium, we intend to start up eForms to automate donut manufacturer sales, eliminate paper reporting, and speed data entry and availability of information to the constituent community.

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G.   Application (Systems) and Database Information

While we don't have any mission critical applications as defined by ISB policy, the following applications and databases are important to fulfilling our business objectives.

Name, year implemented, brief description, future prospects	Types and numbers of users	Functions and transactions automated, interfaces to other systems	Nature of the information stored by this application or database	Hardware and software in use
We started the Manufacturers and Suppliers Directory Database in 1988 as a resource with which manufacturers could find supply sources and to publicize suppliers. Subscribing manufacturers can access this database on our Web site. We plan to enhance functionality so that we can make changes directly to the database via the Web site.	Four internal staff may update the database, which currently includes approximately 60 manufacturers and more than 350 suppliers.	Database subscribers can list their products, supply needs, and contact information. Subscribers can search the database by using simple search features. This database doesn't interface to other systems.	The database includes donut manufacturer demographics and supply needs, agricultural product types, shipping lot sizes and contact information.	We have set up the database to run in Microsoft Access 2003 on an Intel-based Windows 2000 server.
We started the Donut Sales Statistics Database in 1996 in which we enter, for storage and analysis, information that is submitted via paper report and spreadsheets by manufacturers. We generate monthly aggregated statistical files that hide specific manufacturers' sales information, and post them on our Web site. We plan to automate this system to an EForm.	Three internal staff members have access to the database for data entry and analysis. About 40 manufacturers who contribute to the database have access to the files.	With this database, we capture monthly sales data including products, volumes, and sales areas. This database doesn't interface to other systems.	The database includes monthly sales data including products, volumes, and sales areas.	We run this database in Microsoft Access 2003, on an Intel-based Windows 2000 server.

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Name, year implemented, brief description, future prospects	Types and numbers of users	Functions and transactions automated, interfaces to other systems	Nature of the information stored by this application or database	Hardware and software in use
We started the Donut Uniformity Networked Computer (DUNC) tablet PC-based application in 2004 to help manufacturers self-measure and report on donut quality. Using DUNC, we provide access to standards data and receive and store quality sampling data used to report on manufacturing quality and best practices. We hope to expand the use of this application. See more on DUNC in Appendix B.	About 35 manufacturers take part in this program via tablet PCs. Four field staff and 1 HQ staff person provide support.	Manufacturers use the tablet PCs to measure donut dimensions and establish quality parameters. After we update DUNC by uploading manufacturers' measurement data, standards data are downloaded automatically. Our field staff analyze and aggregate results to be shared with the manufacturers.	We use DUNC to establish donut quality standards and sample measurements, and analyze results on quality trends by manufacturing method.	We developed this application using Microsoft C#.NET for Tablet PCs, and store server data on MS Access.

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SECTION 4

Technology Investment/Project Summaries - Current

Currently, we don't have any projects that require reporting in this section in progress. We recently completed the DUNC project and have provided a project review report in Section 6.

SECTION 5

Planned Investments/Projects

Investment Project Name: EForms Enhancement to the Donut Sales Statistics Database (DSSD)

Brief Description and Scope of Functionality	Business Objectives Supported, Benefits Expected	Impacts on the Organization, Others, and IT Infrastructure	Risks
Currently, manufacturers submit to us paper or spreadsheet reports on their donut sales. We enter this information into the DSSD by hand. The information is useful and time sensitive, but our process is often delayed and sometimes results in errors.	By transforming the data entry to an EForm, we will save manufacturers time, speed movement of data into DSSD, make statistics files available faster, and help us achieve the following business goals: Help manufacturers reduce inventory costs by 2% this biennium by using sales data to better forecast demand for key supplies. Improve the timeliness of availability of market sales data by two days per month to improve forecasting.	By carrying out EForm, we will be able to reduce staff time spent on data entry. We will begin new procedures to assure quality of EForms originated data, support EForms users and the EForms application, and maintain EForms software, already owned by the agency. We don't anticipate response time degradation as a result of increased data volumes.	Since adoption by manufacturers is voluntary, they will not accept a poorly executed program. We will secure a development contractor who can effectively address manufacturers' concerns about security and privacy of their data. We will address risks through active communication with manufacturers, involvement of users in design and testing, selection of an expert contractor, and the start up of encryption and password security that is in compliance with ISB security standards.

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Cost Estimate	Agency FTEs and Vendor Support Needed	Schedule	Executive Sponsor and Project Manager Contacts
We have budgeted $100,000 for contractor support.	Our IT Manager will provide part time project management and the marketing division personnel will be actively involved.	We have scheduled the project to start in January 2006 and be finished by January 2007.	Executive Sponsor: Anne Atciera, Agency Director 360-555-0001 Anne@donut.wa.gov Project Manager: Chris LeCremme, IT Manager 360-555-0000 Chris@donut.wa.gov

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SECTION 6

Annual Technology Investment and Project Reviews

We completed our Donut Uniformity Networked Computer Project (DUNC) between 2003 and 2004. This project was not subject to DIS oversight, but we have outlined lessons learned in this section for further use by and sharing with other agencies. See Appendix B for more on DUNC.

The WSDC Executive Director has completed the required verification letter as part of completing annual reviews of our IT investments and projects. This letter is in Appendix C.

Investment Project Name: Donut Uniformity Networked Computer (DUNC)

Review Area	Observations
How timely was project delivery compared to the original schedule? How were variances managed and what were the impacts?	We originally scheduled the DUNC project timeline for 12 months between August 2003 and August 2004. We completed the project in 16 months. Some of the variance was due to underestimating the time to complete testing and rework to eliminate mistakes. Some of it was due to new features identified by testers as opportunities to make the project more acceptable to the users. The project steering committee reviewed variances monthly and approved required changes. While timely completion was important, we made time to adjust for potential problems. We were still able to complete the project before the end of the biennium, so were not overly concerned about the delay.
What was the cost of project delivery compared to the original budget? How were variances managed and what were the impacts?	We budgeted $240,000 for the DUNC project, including the cost of operating system software and development hardware. Of this amount, we held $50,000 in reserve over the amount committed up front. So, the contract with the vendor was $180,000 and $10,000 covered hardware and software. The contractor delivered the project at a cost of $235,000. The project steering committee monitored costs monthly and approved all change requests. The development vendor's contract included a conceptual design and prototype for $50,000, and functionality that was possible given the remaining budget. We negotiated after the successful prototype, enabling us to deliver a useful system with the budgeted funds.

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Review Area	Observations
What functionality was delivered compared to original expectations. How were variances managed and what were the impacts?	Our original design concept called for a laptop PC and a unique scanner. The developer found a way to make the project more streamlined using Tablet PC technology, which eliminated unique device coding and interfaces. The developer delivered three of four key functions. The finished system downloads standards for donut measurements, has an easy to use interface for obtaining and transmitting information via the Internet, and does donut quality scanning measurements directly on the tablet PC. We overcame initial problems with sticky screens by finding that we could obtain accurate measurements by wrapping the donut in Saran Wrap before scanning. Due to budget and time limits, we omitted the development of an expert database suggesting improvements to the donut manufacturing process based on quality measurements. The expert database was the most complex feature, but wouldn't have added appreciably to the immediate value of the system.
What benefits were expected? What changes in expectations have occurred?	We know from marketing studies that consistently manufactured, plump donuts with round holes are much more highly sought after by consumers worldwide. By providing a quick way to apply current donut quality measurement standards to manufacturing samples, donut manufacturers would have a way to improve processes, identify effective manufacturing practices, and have a way to differentiate Washington Donuts as being the highest quality available. Our intent in developing the DUNC system was to provide quick quality standard input to manufacturers. For analysis of trends in quality, we contributed to improved donut production with fast measurement and shared information. Based on the first six months of use, we have proven the effectiveness of DUNC in meeting these benefits. The only downside is that there is now more demand on our staff to analyze data, provide faster updates to quality standards information and support questions on use of DUNC faster and during longer hours than we anticipated.

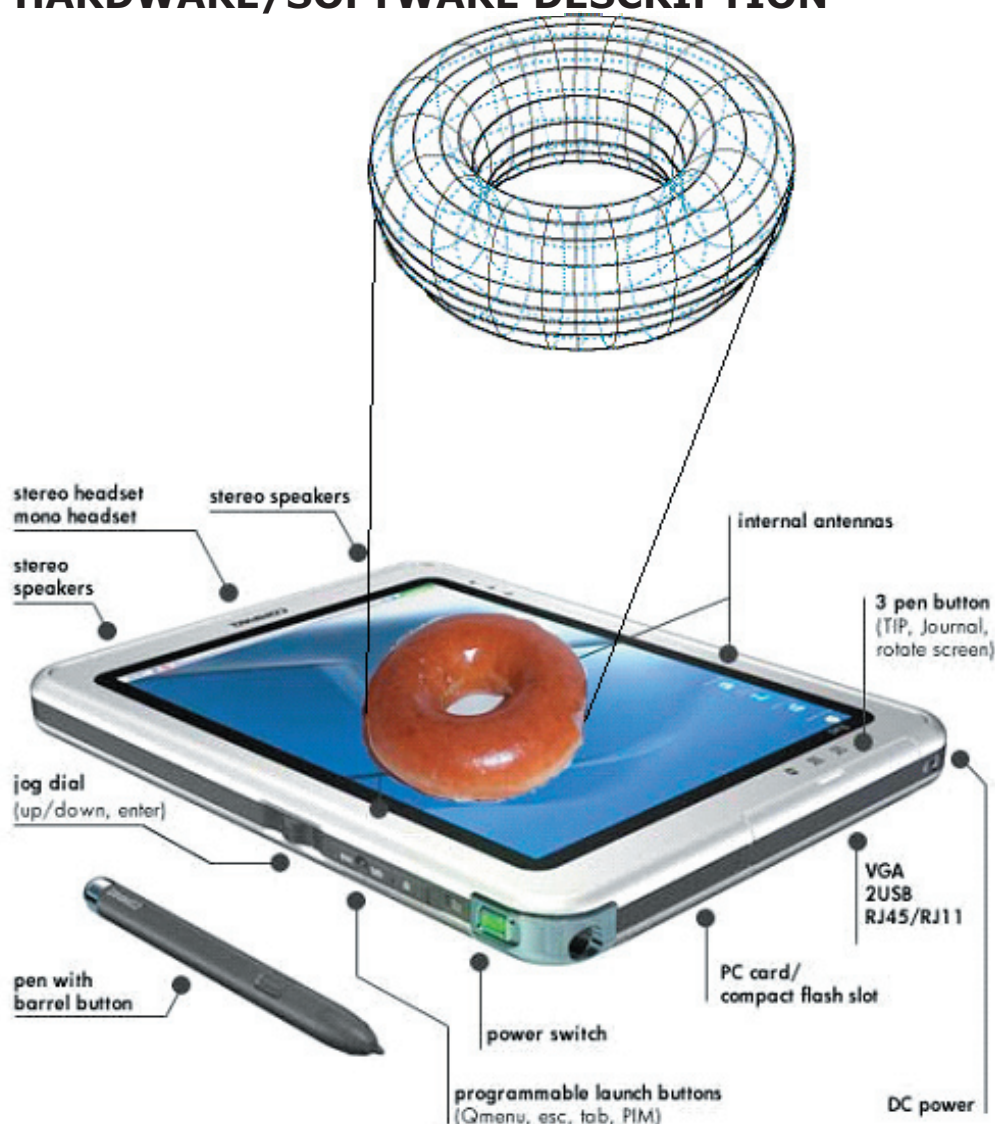This is a sample IT Portfolio and not an actual agency.

APPENDIX A - AGENCY STRATEGIC BUSINESS PLAN

Our business plan (if there was one, but there isn't because the WSDC doesn't exist) would be attached here.

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APPENDIX B - DONUT UNIFORMITY NETWORKED COMPUTER (DUNC) HARDWARE/SOFTWARE DESCRIPTION

We developed DUNC for a standard Tablet PC with 512 MB of memory and a Microsoft surface scanning utility. Manufacturers can place donuts that they have wrapped carefully in Saran Wrap (no wrinkles on the bottom) on the center of the tablet following a DUNC program screen template. Manufacturers use DUNC scanning to assess the symmetry of the donut, extrapolate a 3D image of the donut from surface configuration, and apply the measurements to a database of quality standards. They can enter, via pen points on lists that are generated on the corners of the DUNC screen, time and date stamps, variances in a database with other information about donut composition, coverage (glazed, frosted, sugared, speckled, etc.) and the manufacturing process. Manufacturers capture all of this information in a database and transmit it to us for entry in the DUNC database.

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APPENDIX C – IT PORTFOLIO, SECURITY, AND DISASTER RECOVERY/BUSINESS RESUMPTION COMPLIANCE MEMO

Below and on the next page, is a copy of the memo sent to the ISB by the agency director verifying that we are in compliance with ISB IT Portfolio, Security, and Disaster Recovery/Business Resumption policies and standards.

State of Washington

Donut Commission
Office of the Director
111 Glazed Blvd., Suite 290, P.O. Box 49999 / Olympia Washington 98504-9999 / (360) 555-0001
http://www.donut.wa.gov/

Information Services Board
DIS/MOSTD
Ms. Tracy Guerin, Deputy Director
PO Box 42445
Olympia, WA 98504-2445

July 22, 2005

Dear Ms. Guerin:

The Washington State Donut Commission (WSDC) hereby submits verification of our compliance with Information Services Board policies and standards for IT Portfolio Management, Security, and Disaster Recovery/Business Resumption (DR/BR). This letter meets our requirement to verify annually that our agency has met these requirements.

WSDC has met requirements for annual updates to and testing of our Security and DR/BR plans in collaboration with the Washington Department of Nutrition (WDN). As we are a small agency with only 12 staff and a few applications and databases, it's in our best interest to collocate and share IT facilities with WDN. Our Security and DR/BR Plans are tightly integrated with those of WDN. This assures that professional management and experience is available in support of management of our IT assets, policies, and practices.

Our IT Portfolio is updated at this time and reflects the following:

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- the agency has established a biennial strategic vision as part of the agency strategic business plan for the agency's use of IT including strategies, goals, objectives, and performance measures
- the agency performed a comprehensive review of IT management and operations in conjunction with the agency budget and planning process
- the agency evaluated the portfolio on an overall basis and updated all sections
- the agency submitted Section 3 – A, B, C, & D electronically through the DIS Online e-Portfolio application
- the agency submitted the completed and updated portfolio to the appropriate DIS Senior Technology Management Consultant

IT Security Policy and Standards:

The WSDC has completed its annual review of the IT Security Policy and standards effective July 22, 2005. As part of the annual review and update, we have completed the following:

- the annual review of the Agency's IT Security processes, procedures and practices was completed and the WSDC's IT Security Plan updated effective July 22, 2005
- the Agency's IT Security Policy and Standards compliance audit was last completed on August 19, 2004 (ISB requires all agencies to complete their next Security Audit by October 2006)

IT Disaster Recovery Policy and Standards:

The WSDC has completed its annual review of the IT Disaster Recovery Policy and Standards effective July 22, 2005. The Agency's Disaster Recovery and Business Resumption Plan was last reviewed and updated effective March 31, 2005.

Geographic Information Systems Policy and Standards:

The WSDC does not use Geographic Information Systems.

I have personally reviewed our IT investment management, practices, and plans for compliance with ISB requirements. Please contact our IT Manager, Mr. Christopher LeCremme at 360-555-0000 if you have questions about our plans.
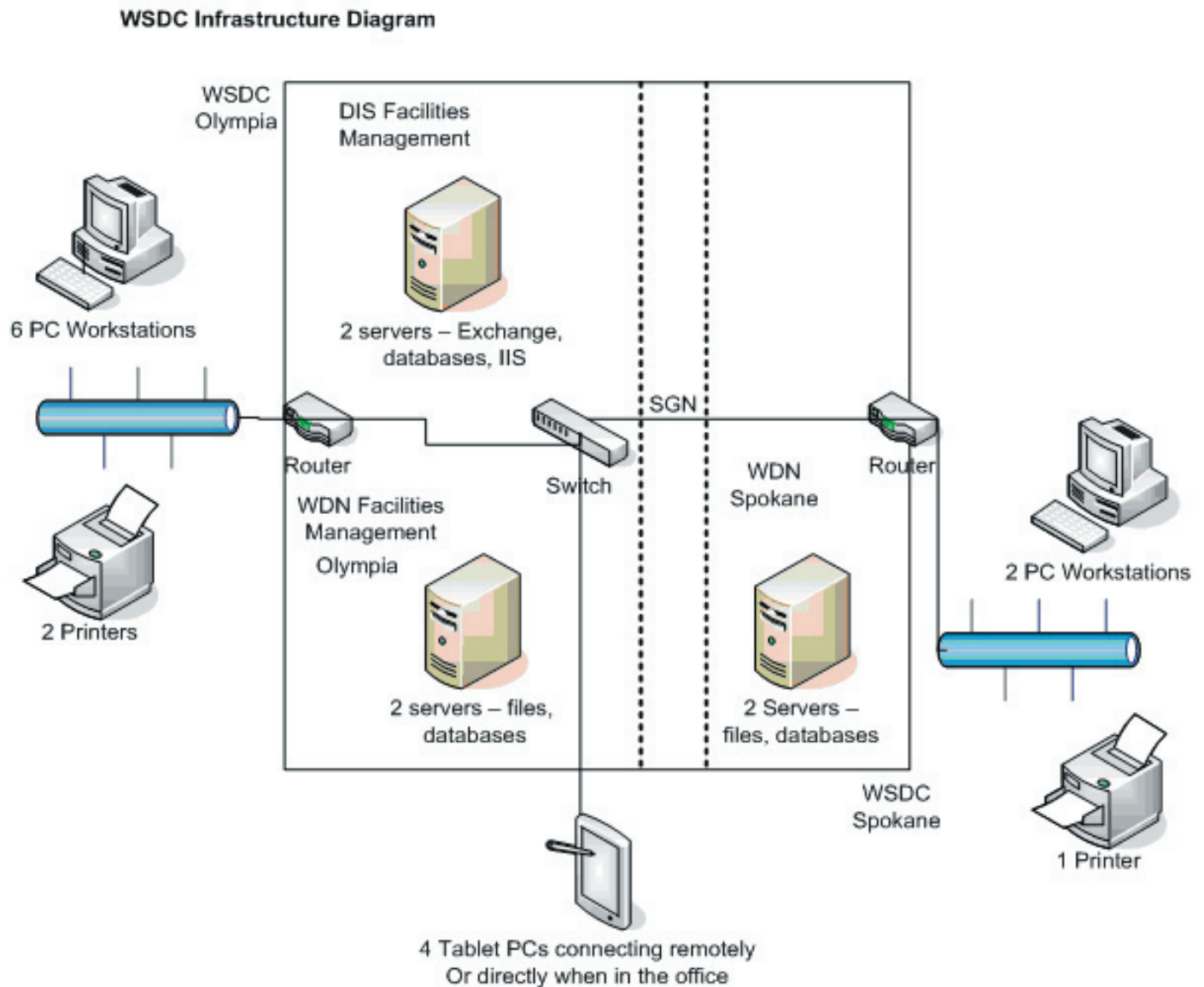

Warm Regards,

Anne Atciera

Anne Atciera, Director
Washington State Donut Commission

Cc: Linda Jo Demery, Small Agency Client Services Manager
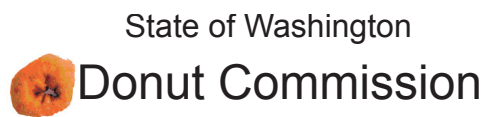   Chris LeCremme, IT Manager, WSDC

APPENDIX D – WSDC NETWORK CONFIGURATION

WSDC Infrastructure Diagram

WSDC Olympia

DIS Facilities Management

6 PC Workstations

2 servers – Exchange, databases, IIS

2 Printers

Router

WDN Facilities Management Olympia

Switch

SGN

2 servers – files, databases

WDN Spokane

Router

2 Servers – files, databases

2 PC Workstations

WSDC Spokane

1 Printer

4 Tablet PCs connecting remotely Or directly when in the office

This is a sample IT Portfolio and not an actual agency.

Prepared by: Christopher LeCremme, IT Manager
Washington State Donut Commission
360-555-0000   chris@donut.wa.gov
July 22, 2005

Approved by: Anne Atciera, Agency Director

State of Washington

Donut Commission

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Washington state donuts — dunk 'em or simply eat 'em, you just can't beat 'em! ™